

Serial No. 10/065,460

Docket No. 124703

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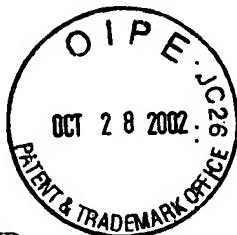
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: RICHARD J. SAIA, ET AL

Serial No.: 10/065,460

Filed: 10/21/ 02

For OPTOELECTRONIC PACKAGE AND  
FABRICATION METHOD



Group Art Unit:

Examiner:

38  
2  
2-4-03

INFORMATION DISCLOSURE STATEMENT

- ☒ 1 **Pursuant to 37CFR 1.97(b)**  
[within 3 months of national, non-CPA filing or prior to 1st Office Action] *no charge*
- ☐ 2 **Certification Pursuant to 37 CFR 1.97(c)(1)**  
[before Final Office Action, Allowance, or other action closing prosecution] *no charge*
- ☐ 3 **Fee Payment Pursuant to 37 CFR 1.97(c)(2)**  
[before Final Office Action, Allowance, or other action closing prosecution] *\$180.00*
- ☐ 4 **Certification & Fee Payment Pursuant to 37 CFR 1.97(d)**  
[On or before issue fee payment] *\$180.00*

ATTN: BOX PATENT APPLICATION  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

The following are submitted in the above application in compliance with 37 CFR 1.97 and 37 CFR 1.98:

- ☒ 5 A list of documents on form PTO-1449 or Substitute together with copies of each identified document and a translation thereof or a concise explanation of each non-English language document or a Search Report from an International Searching Authority for a patent application filed via the Patent Cooperation Treaty or document(s) cited in the application or the priority application.

RECEIVED  
OCT 29 2002  
162800 MAIL ROOM

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on the date indicated below.

Date of Deposit

Type or Print Name

Signature

This paper is submitted in accordance with:

- ☒ 6 37 CFR 1.97(b): [within 3 months of national, non-CPA filing or prior to 1st Office Action]
- ☐ 7 37 CFR 1.97(c): [before Final Office Action, Allowance, or other action closing prosecution, whichever is earlier]; and
- ☐ 8 The required Certification made in item 11 below; or
- ☐ 9 The \$180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 15 below.
- ☐ 10 37 CFR 1.97(d): [on or before issue fee payment]; and
- a) The required Certification is stated in item 11 below; and
- b) The \$180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 14 below.
- ☐ 11 Certification
- ☐ 12 Each item of information contained in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of this Statement; or
- ☐ 13 No item contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this document after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated in 37 CFR 1.56(c) more than three (3) months prior to the filing date of this Statement.
- ☒ 14 Payment of all applicable fees:
- ☒ 15 Please charge all applicable fees associated with the submittal of this Information Disclosure Statement to Deposit Account No. 07-0868

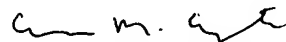
An original and two (2) copies of this document are enclosed.

Respectfully submitted,

10/21/02

Date

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FORM PTO-1449  
(REV. 7-80)U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
124703SERIAL NO.  
10/065,460

**INFORMATION DISCLOSURE STATEMENT BY APPLICANT**  
**LIST OF ITEMS**

Applicant  
RICHARD J. SAIA, ET ALFiling Date  
10/21/02

Group

**U.S. PATENT DOCUMENTS**

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA 5,353,498	10/11/94	FILLION, ET AL			
	AB 5,900,674	5/4/99	WOJNAROWSKI, ET AL			
	AC 6,046,410	4/4/00	WOJNAROWSKI, ET AL			
	AD 6,293,688	9/25/01	DEACON			
	AG					
	AE					
	AH					
	AF					

**US PATENT APPLICATION PUBLICATION DOCUMENTS**

	DOCUMENT NUMBER	PUB. DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	B1 2002/0019305 A1	2/14/02	WU			
	B2 2002/0028045 A1	3/7/02	YOSHIMURA, ET AL			
	B3 2002/0031297 A1	3/14/02	FORREST, ET AL			

**OTHER INFORMATION** (Including Author, Title, Date, Pertinent Pages, etc.)

	C1	SEMICONDUCTOR INTERNATIONAL WEBSITE ON FLIP- CHIP PACKAGING, 5 PAGES, URL: <a href="http://www.e-insite.net/semiconductor/index.asp?layout=article&amp;articleid=CA239576&amp;pub...">http://www.e-insite.net/semiconductor/index.asp?layout=article&amp;articleid=CA239576&amp;pub...</a>
	C2	US PATENT APPLICATION, SER. NO. 10/064,581, FILED 7/29/02 ENTITLED "METHOD AND APPARATUS FOR FABRICATING WAVEGUIDES AND WAVEGUIDES FABRICATED THEREFROM" BY L. DOUGLAS, ET AL, ATTORNEY DOCKET NO. 124007.
	C3	
	C4	

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant